State of California, Secretary of State

Minutes of the CAL-ACCESS User's Group Meeting

March 23, 2000

Secretary of State's Office, Sacramento, CA

In attendance were:

Caren Daniels-Meade, Political Reform Division
Steve Kawano, Information Technology Division
Bernard Sorano, Information Technology Division
David Hulse, Political Reform Division
John Keplinger, Political Reform Division
David Harris, Information Technology Division
Miguel Castillo, Information Technology Division
Lisa Leong, Political Reform Division
Wayne Cox, SAIC
Malcolm Cummings, SDR
John Krivacic, Booz-Allen & Hamilton
Mike Shulem, Data+ Imagination
David Montgomery, NetFile/Grassroots.com
Carla Wardlow, Fair Political Practices Commission
Darryne T. Agar, SAIC
Rick Ehrlinspiel, RunForOffice.com
Chris White, Aristotle Publishing
Gordy Klinda, Montelara
Chacha Brown, California Democratic Party
Alice Choi, Livingston & Mattesich
Jill John, Livingston & Mattesich
Don Goyette, Statecraft
Sheryl White, Statecraft
Joe Lyaix, San Francisco Ethics Commission
Bing Ferdkano, San Francisco Ethics Commission
Susan Farmer, Franchise Tax Board
Jerry Nottleson, Franchise Tax Board
Linda Boudreau, DirectFile
Diane Fishburn, Olson Hagel
Sarah Gilmer, Olson Hagel
Parv King, California Democratic Party

Distributed were a copy of CAL errata 1.05.00; test samples for lobbyist filings, and a contact list with phone numbers of Secretary of State support staff.

Steve Kawano, Project Manager from the ITD side of the Secretary of State's Office, presented the meeting overview:

Meeting Overview

- ***Evaluation and Input re: the LCR/LIE Filing Process:***
  - Amendments
  - Erroneous filings and how to handle
  - Print issues
  - PDF issues

- ***Explanation of CAL 1.05 Format:***
  - ID numbers/passwords
  - Amendment process

- ***Lobbying Test Samples & Certification Process:***
  - Vendor Fair – April 6th, Multi-Purpose Room
  - Mailing to lobbyists, firms, employers

- ***Demonstration of New CAL-ACCESS Queries:***

- ***Status of X.12 Format:***

- ***Open Questions & Discussions:***

This meeting is to primarily focus on the lobbyist filings. The filing deadline is May 1, 2000, however filings could come in as early as April 1, 2000.

Issues from the LCR/LIE filing period:

- Forms validator linking together
- How to delete a filing which was accidentally filed by a client who did not meet the $100,000 threshold in order to eliminate their obligation of electronically filing of all future filings.
- Description not showing on the Form 496
- PDF filings not showing up in Netscape but would show up in Explorer

Caren clarified a misunderstanding of the confirmation of *"Amendment 0";* this means it's the original filing.

Group discussed to need to have an error code manual for clients to refer to when receiving validator error messages on the transmittal. Secretary of State is currently looking into a process/point of contact for such instances.

A concern was raised regarding the LCR/LIE on the spreadsheet format viewing differently from the electronically filed format. The driver will determine what has been filed electronically vs paper. Unfortunately, because the law states the documents must be filed both electronically and on paper, we will have some level of duplicate filings made. A suggestion was made to show the <u>receipt</u> of the Late Contributions only to eliminate the double reporting from showing up.

Diane Fishburn brought up an issue regarding the amendment process and which date should be used -- the original date on the amendment, or the date the amendment was made? Wayne will look into the situation and get back to vendors on this issue.

A question arose regarding the type of coverage that will be available for the lobbyist filing. Steve reported the coverage will be the same as we provided for the LCR filing period and we will be sending an informational package out to reiterate the line of communication.

A question was addressed “what happens if audited in two years?” FPPC responded that they understand this is a new program and will take that into consideration. Steve also reiterated that we have all calls and communication documented to help support a filer’s contention that they tried to timely file.

Mike brought up concerns of issues he’s communicated that he feels have not yet been resolved. Steve addressed the issue and reported that a Trouble Report is being developed to provide a formal piece of documentation and he will e-mail the group with all of the outstanding issues along with an update of the status of those issues.

- Explanation of CAL 1.05 Format (Wayne Cox/David Hulse/Malcolm Cummings)

Minor changes have been made to the CAL 1.05 Format to address a couple of major issues, once of which is being able to identify the specific entities that are doing filings without having to file 30 forms to amend a particular filing. Another change is to allow firms to be able to file for the lobbying entity.

David Hulse clarified the process to obtain an ID and password. This process will be similar to the campaign with a few differences. The actual filer that has the requirement to make the filing under SB 49 can download the request form for user ID and password from our web site and the filer can still empower the vendor to file on their behalf. For the lobbyist filings we will have need to distinguish between the firms; employers; lobbyists and the clients. Firms are going to have a requirement to make a disclosure filing on this fifth quarter from the period 1/1 – 3/31 which is due 5/1 and if those firms have in-house lobbyists, the lobbyists themselves will be blanketed in the requirement. Both the firm and the lobbyist must obtain a unique ID and password so that we can distinguish between the two. The same thing will happen with the registered lobbyist employers. For example, for those registered lobbyist employers that incur the filing obligation of $100,00 of activity, those with the in-house lobbyist will have to get a password for the employer and then a separate password for the lobbyist. If a firm qualifies at the $100,000 level, that automatically does **not** blanket in the firm's clients so the clients filing on the Form 635 will have to file that form electronically if they themselves incur $100,00 worth of activity, in the fifth quarter. A mass mailing will be going out next week to the lobbying filing entities to make them aware of the requirements. Wayne will provide a diskette with the user ID, name and address of every entity in our lobbying system to the vendors after today's meeting.

Diane Fishburn asked a question concerning the sender ID's and if it will be the same number. Malcolm addressed her question. The sender ID is when a firm is sending in a Form 604 or Form 602 on behalf of a lobbyist or client that's employed by them. The sender ID differentiates the filer who is the subject of that report. The sender ID number is going to be the same as the firm's ID number.

An update to the format is scheduled to be released by tomorrow. This will not change the format to the programming, but will add additional comments and scenarios in the document. Group discussed the possibility of dropping Form 605 and Form 690, however, no decision was made.

Vendor's asked when we will be switching from version 1.04 to version 1.05 on the server. The change is scheduled to occur tomorrow only in the test environment. Filings received in the production environment will still be accepted in version 1.04. Date to switch version 1.04 to version 1.05 in production has not yet been determined.

- Lobbying Test Samples & Certification Process (Steve Kawano/David Harris)

A question came up regarding what the process will be to receive test data. Handouts of the test samples will be provided to the group at today's meeting. The process will be the same as the LCR period. The main point of contact will be Miguel Castillo along with the toll-free number (877) 745-FILE (3453). Barbara Smith and Pam Banford of the Political Reform Division will be reviewing the test filings for approval.

If an item requires information and there is nothing to report, what should the filer put in the box? Wayne recommended leaving the item blank.

The Vendor Fair is scheduled for Thursday, April 6 in the Multi-Purpose Room of the Secretary of State's Office. The fair will be held from 10:00 am – 5:00 pm.

- Demo of New CAL-ACCESS Queries (David Harris)

David Harris presented a demonstration of the enhanced campaign query screens. Modifications include:

- Access the filer by name (alpha list), office or contributions

- Search by contest to obtain detail information for entity
- Search by ballot measure
- Access filings by date

All screens are downloadable

These screens will be available in approximately two weeks. The legacy database will not be available on the Internet. You can, however, view the legacy data at the Political Reform Division Public Counter.

Status of X.12

Steve reported that Sterling Commerce has provided a lot of time and effort in the X.12 format and is pleased to report that we have completed 90% of campaign documents and are close to completing the lobbying forms. The 10% remaining is pending test samples going through our test environment to determine how it's going to respond. Sheryl White has a concern with the validator she has purchased as it is not compatible with our X.12 ICS, and she has not had a chance to send test filings. Sheryl was informed that the Secretary of State's Office is not ready to accept X.12 test filings. The Secretary of State's Office is still in the approval process for all vendors to use the CAL format and is currently working on the X.12 format. Caren reiterated that the X.12 filing format will be ready by the July 31 filing deadline. Sheryl has concerns that the focus is primarily on forms rather than the data. Sheryl also brought up an issue with the X.12 modifications and would like to see just minor modifications made to the Implementation Conventions. Caren restated Secretary of State's intention of supporting X.12 for Statecraft.

Caren reported that a mailing will be going out no later than Tuesday of next week to the lobbyists, lobbyists employers, and firm's as well as to vendors explaining the filing obligations; and process for obtaining ID's and passwords, and reminding them of the upcoming Vendor Fair scheduled for Thursday, April 6, 2000.

A question arose regarding the amount of changes vendors should expect to see. Are their changes going to be made to the Form 460 within the next 12 months that will change the data structure? Steve responded that form changes are up to the FPPC.

Steve reiterated that the Problem Reports will be sent to the vendors via e-mail no later than the end of next week.

Next meeting to be scheduled after May 1, 2000.

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Meeting adjourned at 11:50 a.m.

Respectfully submitted,

Joyce Geerling
Executive Assistant, Political Reform Division